IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:	
SELENA CHAN, ET AL.	Art Group: 2877
Application No.:	Examiner: Not yet assigned
Filed:	
For: **Metal Coated Nanocrystalline Silicon as an Active Surface Enhanced Raman Spectroscopy (SERS) Substrate**	

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted . It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 10/171,357, filed June 12, 2002) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 10/7/03

Richard A. Nakashima, Reg. No. 42,023

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(303) 740-1980

Please type a plus sign (+) in this box [+]

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO				Complete if known	
(modified) **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**				**Application Number**	**Not yet assigned**
				Filing Date	**Concurrently Herewith**
				First Named Inventor	**Selena Chan**
(use as many sheets as necessary)				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
Sheet	1	of	4	Attorney Docket	42P14246X

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.[1]	U.S. Patent Document Number	Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Figures Appear
		5,306,403		Vo-Dinh	04/26/1994	
		5,561,304		Canham, et al.	10/01/1996	
		5,770,022		Chang, et al.	06/23/1998	
		5,994,164		Fonash, et al.	11/30/1999	
		6,002,471		Quake	12/14/1999	
		6,017,773		Fauchet, et al.	01/25/2000	
		6,040,191		Grow	03/21/2000	
		6,136,704		Maya	10/24/2000	
		6,149,868		Natan, et al.	11/21/2000	
		6,153,489		Park, et al.	11/28/2000	
		6,171,945		Mandal, et al.	01/09/2001	
		6,174,677		Vo-Dinh	01/16/2001	
		6,180,415		Schultz et al.	01/30/2001	
		6,268,041		Goldstein	07/31/2001	
		6,294,442		Kamal	09/25/2001	
		6,300,193		Forbes	10/09/2001	
		6,312,768		Rode, et al.	11/06/2001	
		6,313,914		Roe	11/06/2001	
		6,322,895		Canham	11/27/2001	
		6,344,272		Oldenburg, et al.	02/05/2002	
		6,358,613		Buriak	03/19/2002	
		6,358,815		Maeda	03/19/2002	
		6,359,276		Tu	03/19/2002	
		6,376,177		Poponin	04/23/2002	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

Please type a plus sign (+) in this box [+]

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO (modified) **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (use as many sheets as necessary)				***Complete if known***	
				Application Number	**Not yet assigned**
				Filing Date	**Concurrently Herewith**
				First Named Inventor	**Selena Chan**
				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
Sheet	2	of	4	Attorney Docket Number	42P14246X

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		Schoenfeld, et al., "Formation of Si Quantum Dots in Nanocrystalline Silicon," Proc. 7th Int. Conf. On Modulated Semiconductor Structures, Madrid, pp. 605-608, 1995.	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
[1] Unique citation designation number. [2] Applicant is to place a check mark here if English language Translation is attached.

Please type a plus sign (+) in this box [+]

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO (modified) **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (use as many sheets as necessary)				***Complete if known***	
				Application Number	**Not yet assigned**
				Filing Date	Concurrently Herewith
				First Named Inventor	Selena Chan
				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
Sheet	3	of	4	Attorney Docket	42P14246X

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.[1]	U.S. Patent Document Number	Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Figures Appear
		5,255,067		Carrabba, et al.	10-19-1993	
		6,399,177		Fonash, et al.	06-04-2002	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		UNAL, et al. "Photovoltaic Properties of a Novel Stain Etched Porous Silicon and its Application in Photosensitive Devices," *Optical Materials,* 17 (2001) 79-82.	
		VO-DINH, "Surface-Enchanced Raman Spectroscopy Using Metallic Nanostructures," *Trends in Analytical Chemistry,* Vol. 17, Nos. 8-9, 1998.	

Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
	03-08-2000	0984269 A1	EP			No

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

Please type a plus sign (+) in this box [+]

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

(modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	4	of	4

Complete if known	
Application Number	Not yet assigned
Filing Date	Concurrently Herewith
First Named Inventor	Selena Chan
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket	42P14246X

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.[1]	U.S. Patent Document Number	Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Figures Appear
		6,249,080		Komoda, et al.	06/19/2001	
		6,478,974		Lebouitz, et al.	11/12/2002	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		CAI, et al., "Optical Properties of Ag and Au Nanoparticles Dispersed within the Pores of Monolithic Mesoporous Silica," *J. Nanoparticle Res.* 3:443-453, 2001.	
		CAI, et al., "Direct Formation of Self-Assembled Nanoporous Aluminium Oxide in SiO_2 and Si Substrates," *Nanotechnology* 13:627, 2002.	
		CHAN, et al., "Tunable, Narrow, and Directional Luminescence From Porous Silicon Light Emitting Devices," *Applied Physics Lett.* 75:274-276, 1999.	
		DUFFY, et al., "Rapid Prototyping of Microfludidic Systems in Poly(dimethylsiloxane)," *Anal. Chem.* 70:4974-84, 1998.	
		VARGHESE, et al., "Highly Ordered Nanoporous Alumina Films: Effect of Pore Size and Uniformity on Sensing Performance," *J. Mater. Res.* 17:1162-1171, 2002.	
		WEIPING, et al. "Synthesis and Structural and Optical Properties of Mesoporous Silica Containing Silver Nanoparticles," *J. Phys. Condens. Matter* 9:7257-67, 1997.	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.